

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jay S. WALKER et al. )

For: METHOD AND APPARATUS FOR  
FACILITATING ELECTRONIC  
COMMERCE THROUGH PROVIDING  
CROSS-BENEFITS DURING A  
TRANSACTION )

) Examiner: Not Assigned

Serial No.: 09/219,267 )

) Group Art Unit: 2761

Filing Date: December 23, 1998 )

) Docket No.: WD2-98-109

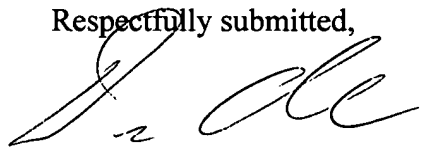
Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attn: Application Processing Division's Customer  
Correction Branch

TRANSMITTAL LETTER

Applicants hereby submit the following documents for the above-identified patent application:

1. 2<sup>nd</sup> Request for Corrected Filing Receipt;
2. Copy of Application Transmittal Letter;
3. Red-lined Copy of Official Filing Receipt; and
4. Postcard.

Respectfully submitted,



Dean Alderucci  
Attorney for Applicants  
PTO Reg. No. 40,484  
Walker Digital Corporation  
Five High Ridge Park  
Stamford, CT 06905

May 11, 1999

Date

**Certificate of Mailing**

I hereby certify that this correspondence is being sent via first class mail in an envelope with sufficient postage addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 Attn: Application Processing Division's Customer Correction Branch on May 11, 1999.

Sylvia Gonzalez  
Typed Name of Person Making  
Deposit

  
Signature

05/11/99  
Date

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2<sup>ND</sup> REQUEST FOR CORRECTED FILING RECEIPT

Applicants respectfully request that the filing receipt for the above-identified patent application be corrected as follows:

- 1) The title of the invention be corrected to "METHOD AND APPARATUS FOR FACILITATING ELECTRONIC COMMERCE THROUGH **PROVIDING CROSS-BENEFITS DURING A TRANSACTION.**"
- 2) The Filing Fee Received be corrected to "**\$971.00**".

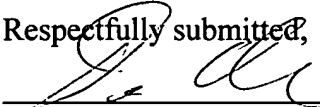
The requested correction has been indicated in red on an enclosed copy of the official Filing Receipt.

In support of this request, applicants have enclosed a copy of the patent application transmittal letter filed with the original application on December 23, 1998,

which clearly indicates the correct data requested above. Please issue a corrected Filing Receipt in due course.

May //, 1999  
Date

Respectfully submitted,

  
\_\_\_\_\_  
Dean Alderucci  
Attorney for Applicants  
PTO Reg. No. 40,484  
Walker Digital Corporation  
Five High Ridge Park  
Stamford, CT 06905  
(203) 705-3006  
(203) 595-8266 (fax)

MAY 14 1999

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.

WD2-98-109

Total Pages in this Submission

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**

Box Patent Application

Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD AND APPARATUS FOR FACILITATING ELECTRONIC COMMERCE THROUGH PROVIDING CROSS-BENEFITS DURING A TRANSACTION**

and invented by:

Jay S. Walker and Daniel E. Tedesco

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 08/943,483

AND  
Which is a:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/100,684

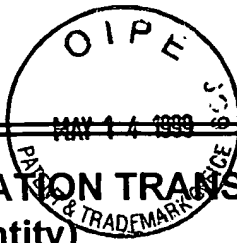
AND  
Which is a:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 08/994,426

Enclosed are:

**Application Elements**

1. ☐ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 33 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure



**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
**WD2-98-109**

Total Pages in this Submission

**Application Elements (Continued)**

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*  
a. ☒ Formal      b. ☐ Informal      Number of Sheets 18
4. ☒ Oath or Declaration  
a. ☐ Newly executed *(original or copy)*      ☒ Unexecuted  
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*  
c. ☒ With Power of Attorney      ☐ Without Power of Attorney  
d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*  
a. ☐ Paper Copy  
b. ☐ Computer Readable Copy  
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☐ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing  
☐ First Class      ☒ Express Mail *(Specify Label No.):* EM566048909US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
WD2-98-109

Total Pages in this Submission

**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☐ Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_

17. ☐ Additional Enclosures (please identify below):

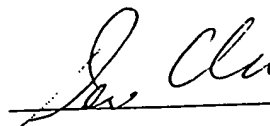
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fe
Total Claims	64	- 20 =	44	x \$9.00	\$396.00
Indep. Claims	8	- 3 =	5	x \$39.00	\$195.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$380.00
OTHER FEE (specify purpose) _____					\$0.00
TOTAL FILING FEE					\$971.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☐ The Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☐ Credit any overpayment.
- ☐ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: December 23, 1998



Signature

Dean Alderucci  
Attorney for Applicants  
PTO Reg. No. 40,484  
Walker Digital Corporation  
Intellectual Property Department  
Five High Ridge Park  
Stamford, CT 06905-1326  
(203) 705-3006

cc:

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/219,267	12/23/98	2761	\$33,232.00	WD-98109	18	64	8

\$ 971.00

DEAN ALDERUCCI  
WALKER DIGITAL CORPORATION  
FIVE HIGH RIDGE PARK  
STAMFORD CT 06905

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

JAY S. WALKER, RIDGEFIELD, CT; DANIEL E. TEDESCO,  
NEW CANAAN, CT.

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A CIP OF 08/943,483 10/03/97 ✓  
WHICH IS A CIP OF 08/923,683 09/04/97 ✓  
WHICH IS A CIP OF 08/889,319 07/08/97 ✓  
WHICH IS A CIP OF 08/707,660 09/04/96 PAT 5,794,207  
AND A CIP OF 09/100,684 06/19/98 ✓  
WHICH IS A CIP OF 08/982,149 12/01/97 ✓  
AND A CIP OF 08/994,426 12/19/97 ✓  
WHICH IS A CIP OF 08/920,116 08/26/97 ✓  
WHICH IS A CIP OF 08/822,709 03/21/97 ✓

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 01/21/99  
TITLE

METHOD AND APPARATUS FOR FACILITATING ELECTRONIC COMMERCE  
THROUGH CROSS -BENEFITS DURING A TRANSACTION

PRELIMINARY CLASS: 705

→ Providing

RECEIVED  
MAY 03 1999  
WALKER DIGITAL